

Please type a plus sign (+) inside this box → ☐

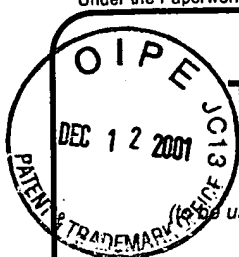
PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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GP-3662  
#2  
BT  
12.27-01



# TRANSMITTAL FORM

(To be used for all correspondence after initial filing)

Application Number 09/921,118

Filing Date 08-02-01

First Named Inventor Schultz

Group Art Unit 3662

Examiner Name

Attorney Docket Number 990114 U1 USA

Total Number of Pages in This Submission 289

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GROUP 3600

## ENCLOSURES (check all that apply)

☒ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☐ Other Enclosure(s) (please identify below):

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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Peter V. Schroeder

Signature

Date

October 19, 2001

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 10-19-01

Typed or printed name

Laurie Moore

Signature

Date

10/18/01

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

0.00

Complete if Known

Application Number 09/921,118  
Filing Date 08-02-01  
First Named Inventor Schultz  
Examiner Name  
Group Art Unit 3662  
Attorney Docket No. 990114 U1 USA

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-3840  
Deposit Account Name

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

Total Claims  -20\*\* =  X  =   
Independent Claims  -3\*\* =  X  =   
Multiple Dependent  =

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Peter V. Schroeder	Registration No. (Attorney/Agent)	42,132	Telephone	214-220-0444
Signature	<i>Peter V. Schroeder</i>	Date	10-19-01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Roger L. Schultz

USA

Serial No.: 09/921,118

Filed: August 2, 2001

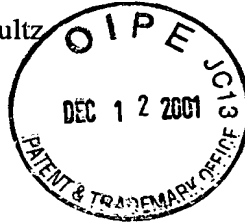
For: **ADAPTIVE ACOUSTIC TRANSMITTER CONTROLLER APPARATUS**

**AND METHOD**

Attorney Docket: 990114 U1

Group Art Unit: 3662

Examiner:



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**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents

Washington, DC 20231

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GROUP 3600

Sir:

Pursuant to the provisions of 37 CFR §§ 1.56, 1.97, and 1.98 and MPEP 609, Applicant submits herewith a complete Form PTO-1449, "Information Disclosure Citation."

A copy of each of the documents listed on this Form PTO-1449 is submitted.

Consideration by the Examiner of each of the documents listed on Form PTO-1449 is respectfully requested. Applicant respectfully requests that a copy of PTO-1449, as considered and initialed by the Examiner, be returned to the undersigned with the next Official Communication.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made. 37 CFR § 1.97(g). Furthermore, the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in this Statement is, or is considered to be prior

art, analogous art, or material to patentability of this application, but the information has been cited to make it clear beyond all doubt that Applicant's duty of disclosure has been complied with. 37 CFR § 1.97(h).

This Information Disclosure Statement is being filed within three months of the filing date of the national application. Applicant does not believe that a certification or fee is required for this Information Disclosure Statement.

The Commissioner of Patents and Trademarks is hereby authorized to charge any fee relating to this Information Disclosure Statement under 37 CFR S 1.17 to Deposit Account No. 03-3840. A duplicate copy of this fee authorization sheet is enclosed for this purpose.

DATE: October 19, 2001

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on October 18, 2001  
Date of Deposit

Peter V. Schroeder  
Name of Applicant, Assignee or Registered Representative

  
Signature

October 18, 2001  
Date of Signature

Respectfully submitted,



Peter V. Schroeder, Reg. No. 42,132  
CRUTSINGER & BOOTH  
1601 Elm Street, Suite 1950  
Dallas, Texas 75201-4744  
(214) 220-0444; Fax (214) 220-0445

Attorneys for Applicant

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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	09/921,118
				Filing Date	08-02-01
				First Named Inventor	Roger L. Schultz
				Art Unit	3662
				Examiner Name	
				Attorney Docket Number	990114 U1 USA
Sheet	1	of	1		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
		US- 3,252,225	05-24-66	Hixson	
		US- 4,314,365	02-02-82	Petersen et al.	
		US- 4,390,975	06-28-83	Shawhan	
		US- 4,562,559	12-31-85	Sharp et al.	
		US- 4,992,997	02-12-91	Bseisu	
		US- 5,050,132	09-17-91	Duckworth	
		US- 5,128,901	07-07-92	Drumheller	
		US- 5,124,953	06-23-92	Grosso	
		US5,148,408	09-15-92	Matthews	
		US- 5,151,882	09-29-92	Kingman	
		US- 5,289,354	02-22-94	Glaser et al.	
		US5,303,203	04-12-94	Kingman	
		US5,321,981	06-21-94	Macherson	
		US- 5,373,481	12-13-94	Orban et al.	
		US5,417,295	05-23-95	Rao et al.	
		US6,002,985	12-14-99	Stephenson	
		US-			
		US-			
		US-			
		US-			

[illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

English language translation is attached.

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